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THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Rothman et al. Confirmation No.: 3143
Application No.: 10/053,520 Art Unit: 1646
Filed: January 17, 2002 Examiner: Basi, Nirmal Singh
For: Conjugate Heat Shock Protein-Binding Peptides Attorney Docket No.: 8449-429-999
(formerly: 11746/46004)

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.56 & §1.97

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the continuing duty of disclosure imposed by 37 C.F.R. §1.56 and §1.97 to inform the Patent and Trademark Office of all references coming to the attention of each individual associated with the filing or prosecution of the subject application, which are or may be material to the patentability of any claim of the application, Attorneys for Applicants hereby direct the Examiner's attention to references A01-A04; B01-B02 and C01-C29, which are listed on the attached List of References Cited. Pursuant to 37 C.F.R. § 1.98(a)(2)(i), copies of the cited U.S. patent documents (*i.e.*, references A01-A04) are not submitted herewith. Copies of references B01-B02 and C01-C29 are submitted herewith.

Identification of the listed references is not to be construed an admission of Applicants or Attorneys for Applicants that such references are available as "prior art" against the subject application.


Applicants respectfully request that the Examiner review the foregoing references and that the references be made of record in the file history of the application.

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Pursuant to 37 C.F.R. § 1.97(c)(2), since this Supplemental Information Disclosure Statement is being submitted after the first Office Action on merits but before a final Office Action under 37 C.F.R. § 1.113, a fee of \$180.00 is believed to be due. Please charge the required fee to Jones Day Deposit Account No. 50-3013. A copy of this sheet is enclosed.

Respectfully submitted,

Date: December 28, 2005


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LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-429-999

APPLICATION NO.

10/053,520

APPLICANT

Rothman et al.

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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A01	5,498,538	3/12/1996	Kay et al.	
	A02	5,962,262	10/5/1999	Hillman et al.	
	A03	6,127,393	10/3/2000	Fernandex-Pol	
	A04	6,663,868	12/16/2003	Rothman et al.	

FOREIGN PATENT DOCUMENTS

		FOREIGN PATENT DOCUMENT COUNTRY CODE, NUMBER, KIND CODE (IF KNOWN)	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	B01	WO 97/06821	2/27/1997	Rothman et al.	
	B02	WO 99/42121	8/26/1999	Podack et al.	

NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)
	C01	ANDERSON, "Human gene therapy", Nature <u>392</u> (6679 Suppl):25-30 (1998)
	C02	BLACHERIE et al., "Heat shock protein vaccines against cancer", J. Immunother. <u>14</u> (4):352-356 (1993)
	C03	CASTELLI et al., "Human heat shock protein 70 peptide complexes specifically activate antimelanoma T cells", Cancer Res. <u>61</u> (1):222-227 (2001)
	C04	CHEN et al., "Enhancement of DNA vaccine potency by linkage of antigen gene to an HSP70 gene", Cancer Res. <u>60</u> (4):1035-1042 (2000)
	C05	FEDOSEYEVA et al., "CD4+ T cell responses to self- and mutated p53 determinants during tumorigenesis in mice", J. Immunol. <u>164</u> (11):5641-5651 (2001)
	C06	FLAJNIK et al., "Which came first, MHC Class I or Class II?", Immunogenetics <u>33</u> :295-300 (1991)
	C07	HEIKE et al., "Heat shock protein-peptide complexes for use in vaccines", J. Leukoc. Biol. <u>60</u> (2):153-158 (1996)
	C08	HEIKEMA et al., "Generation of heat shock protein-based vaccines by intracellular loading of gp96 with antigenic peptides", Immunol. Lett. <u>57</u> (1-3):69-74 (1997)
	C09	HINDS et al., "Immunological evidence for the association of p53 with a heat shock protein, hsc70, in p53-plus-ras-transformed cell lines", Mol Cell Biol. <u>7</u> (8):2863-2869 (1987)
	C10	HUANG et al., "In Vivo Cytotoxic T Lymphocytes Elicitation by Mycobacterial Heat Shock Protein 70 Fusion Proteins Maps to a Discrete Domain and Is CD4.sup.30 T Cell Independent", J. Exp. Med. <u>191</u> :403-408 (2000)

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

NYJD: 1605061.1

LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO. 8449-429-999	APPLICATION NO. 10/053,520
	APPLICANT Rothman et al.	
	FILING DATE January 17, 2002	ART UNIT 1646

NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)
	C11	KONEN-WAISMAN et al., "Self heat-shock protein (hsp60) peptide serves in a conjugate vaccine against a lethal pneumococcal infection", J. Infect. Dis. <u>179</u> (2):403-413 (1999)
	C12	LEWIS et al., "Pilot study of vaccination with autologous tumor-derived gp96 heat shock protein-peptide complex(HSPPC-96) in patients with resected pancreatic adenocarcinoma", Meeting Abstract, Proceedings of the Annual Meeting of the American Society of Clinical Oncology, <u>18</u> :A1687 (1999)
	C13	LOPEZ-GUERRERO et al., "Modulation of adjuvant arthritis in Lewis rats by recombinant vaccinia virus expressing the human 60-kilodalton heat shock protein", Infect. Immun. <u>61</u> (10):4225-4231 (1993)
	C14	LOVETT et al., "Rubella virus-specific cytotoxic T-lymphocyte responses: identification of the capsid as a target of major histocompatibility complex class I-restricted lysis and definition of two epitopes", J. Virol. <u>67</u> (10):5849-5858 (1993)
	C15	MELCHER et al., "Tumor Immunogenicity is Determined by the Mechanism of Cell Death Via Induction of Heat Shock Protein Expression", Nature Medicine <u>4</u> :581-587 (1998)
	C16	MENG et al., "Tumor suppressor gene as targets for cancer therapy", in: <u>Gene Therapy of Cancer</u> , Lattime and Gerson, Eds., Academic Press, Chap. 1, pp. 3-20 (1999)
	C17	NGO et al., "Computational Complexity Protein Structure Prediction and the Levinthal Paradox", Birkhauser Boston, vol. 14, pp. 491-495 (1994)
	C18	NILSSON et al., "Fusion proteins in biotechnology and structural biology", Curr. Opin. Struct. Biol. <u>2</u> :569-575 (1992)
	C19	RIDDELL et al., "T-cell mediated rejection of gene-modified HIV-specific cytotoxic T lymphocytes in HIV-infected patients", Nature Medicine <u>2</u> :216-223 (1996)
	C20	SRIVASTAVA and UDONO, "Heat shock protein-peptide complexes in cancer immunotherapy", Curr. Opin. Immunol. <u>6</u> (5):728-732 (1994)
	C21	SUZUKI et al., "Regulating the retention of T-cell receptor alpha chain variants within the endoplasmic reticulum: Ca(2+)-dependent association with BiP", J. Cell Biol. <u>114</u> :189-205 (1991)
	C22	THEOBALD et al., "Targeting p53 as a general tumor antigen", Proc. Natl. Acad. Sci. USA <u>92</u> (26):11993-11997 (1995)
	C23	THOMSON et al., "Minimal epitopes expressed in a recombinant polyepitope protein are processed and presented to CD8+ cytotoxic T cells: implications for vaccine design", Proc. Natl. Acad. Sci. USA <u>92</u> (13):5845-5849 (1995)
	C24	THOMSON et al., "Recombinant polyepitope vaccines for the delivery of multiple CD8 cytotoxic T cell epitopes", J. Immunol. <u>157</u> (2):822-6 (1996)
	C25	TODRYK et al., "Heat Shock Protein 70 Induced During Tumor Cell Killing Induces Th1 Cytokines and Targets Immature Dendritic Cell Precursors to Enhance Antigen Uptake", J. Immunol. <u>163</u> :1398-1408 (1999)
	C26	VERMA et al., "Gene therapy -- promises, problems and prospects", Nature <u>389</u> (6648):239-242 (1997)

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	C27	WELLS et al., "Hsp72-mediated Augmentation of MHC Class I Surface Expression and Endogenous Antigen Presentation", Int. Immunol. <u>10</u> :609-617 (1998)
	C28	YAMAZAKI et al., "Cutting Edge: Tumor Secreted Heat Shock-Fusion Protein Elicits CD8 Cells for Rejection", J. Immunol. <u>163</u> :5178-5182 (1999)
	C29	SRIVASTAVA, "Interaction of Heat Shock Proteins with Peptides and Antigen Presenting Cells: Chaperoning of the Innate and Adaptive Immune Response", Ann. Rev. Immunol. <u>20</u> :395-425 (2002) (E. Pub. October 4, 2001).

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